



SEC Graduate Program

JULY 24-27, 2012

Tuesday, July 24, 2012

Location: Multipurpose Room, Lower Level, SEC Headquarters

8:00 – 8:30 Registration and Continental Breakfast

8:30 – 8:45 **PROGRAM INTRODUCTION**

Speakers: *Kathy Floyd*, Deputy Director for Investor Education
Office of Investor Education and Advocacy
U.S. Securities and Exchange Commission

Michelle Greene, Vice President and
Head of Corporate Responsibility
NYSE Euronext

8:45 – 9:30 **WELCOME**

Speakers: *Lori Schock*, Director
Office of Investor Education and Advocacy
U.S. Securities and Exchange Commission

Introducing:

Elisse Walter, Commissioner
U.S. Securities and Exchange Commission

9:30 – 9:45 **OVERVIEW OF THE 2012 SEC GRADUATE PROGRAM**

Speaker: *Kathy Floyd*, Deputy Director for Investor Education
Office of Investor Education and Advocacy
U.S. Securities and Exchange Commission

9:45 – 10:10 Group Picture/Break

Location: SEC University Room, SP3 Floor 3

10:10 – 11:00 **OVERVIEW OF THE U.S. SECURITIES AND EXCHANGE COMMISSION**

Speaker: *Urton Anderson*, Academic Fellow
Office of the Chief Accountant
U.S. Securities and Exchange Commission

11:00 – 11:50	LAWS THAT GOVERN THE SECURITIES INDUSTRY Speaker: <i>Donna Norman</i> , Senior Counsel Division of Enforcement U.S. Securities and Exchange Commission
11:50 – 12:00	Break
12:00 – 12:50	LUNCH PRESENTATION: PONZI SCHEMES AND OTHER OFFERING FRAUDS Speaker: <i>Kurt Gresenz</i> , Senior Advisor and Branch Chief International Enforcement Office of International Affairs U.S. Securities and Exchange Commission
12:50 – 2:30	MARKETWATCH ROOM & IT FORENSIC LAB TOURS Speakers: <i>Alton Harvey</i> , Office Chief for MarketWatch Division of Trading and Markets U.S. Securities and Exchange Commission <i>David Sheldon</i> , Branch Chief IT Forensics Laboratory Division of Enforcement U.S. Securities and Exchange Commission
2:30 – 3:20	DODD-FRANK WALL STREET REFORM AND CONSUMER PROTECTION ACT Speakers: <i>Matt Daigler</i> , Senior Special Counsel Division of Trading and Markets U.S. Securities and Exchange Commission <i>Sarah Buescher</i> , Branch Chief Division of Investment Management U.S. Securities and Exchange Commission <i>Parisa Haghshenas</i> , Attorney-Adviser Division of Investment Management U.S. Securities and Exchange Commission
3:20 – 3:30	Break
3:30 – 4:00	<i>Adam Yonce</i> , Financial Economist Division of Risk, Strategy and Financial Innovation U.S. Securities and Exchange Commission
4:00 – 4:30	JUMPSTART OUR BUSINESS STARTUPS ACT (JOBS ACT) Speaker: <i>Jonathan Ingram</i> , Deputy Chief Counsel Division of Corporation Finance U.S. Securities and Exchange Commission

4:30 – 5:00 Day One Wrap-Up

Wednesday, July 25, 2012

Location: Cash Room, U.S. Department of the Treasury

8:00 – 9:00 Check-in, Continental Breakfast, and Day 2 Overview

9:00 – 10:00 **DEPARTMENT OF THE TREASURY, OFFICE OF FINANCIAL INSTITUTIONS**
Speakers: *Cyrus Amir-Mokri*, Assistant Secretary for Financial Institutions
U.S. Department of the Treasury

Melissa Koide, Deputy Assistant Secretary
Office of Financial Education and Financial Access
U. S. Department of the Treasury

10:00 – 10:15 Break

10:15 – 11:00 **NATIONAL ECONOMIC COUNCIL**
Speaker: *Brian Deese*, Deputy Director
National Economic Council, The White House

11:00 – 12:00 **DEPARTMENT OF THE TREASURY, OFFICE OF ECONOMIC POLICY**
Speaker: *Jan Eberly*, Assistant Secretary for Economic Policy
U.S. Department of the Treasury

12:00 – 12:50 *Travel to FINRA (Walk)*

12:50 – 1:40 **OVERVIEW OF FINRA: PURPOSE AND OPERATIONS**
Speaker: *Philip Shaikun*, Associate Vice President and Associate General Counsel
Office of General Counsel
Financial Industry Regulatory Authority

1:40 – 1:50 Break

1:50 – 2:40 **FINRA INVESTOR EDUCATION FOUNDATION**
Speaker: *Gerri Walsh*, President,
FINRA Investor Education Foundation
Vice President, FINRA Investor Education

2:40 – 3:30 **OVERVIEW OF THE CFTC**
Speaker: *Mark Higgins*, Counsel
Office of General Counsel
Commodity Futures Trading Commission

3:30 – 4:00 Day Two Wrap-Up

Thursday, July 26, 2012

Location: Press Reception Area, Lower Level, SEC Headquarters

8:00 – 9:00 Check-in, Continental Breakfast, and Day 3 Overview

Location: 10th Floor Ceremonial Room

9:00 – 10:00 **DISCUSSION WITH THE SEC CHAIRMAN**

Speaker: Mary Schapiro, Chairman
U.S. Securities and Exchange Commission

10:00 – 10:30 Travel to Capitol Hill

10:30 – 11:30 **DISCUSSION WITH REPRESENTATIVE NAN HAYWORTH**

Speaker: The Honorable Nan Hayworth
U.S. House of Representatives

11:30 – 12:30 Travel to the Federal Reserve (Bus), Check-in

Location: Dining Room, Martin Building, Federal Reserve Board

12:30 – 1:30 **LUNCH PRESENTATION: OVERVIEW OF THE CFPB**

Speaker: Dan Rutherford, Senior Content Specialist
Consumer Financial Protection Bureau

1:30 – 1:45 Break

Location: Board Room, Eccles Building, Federal Reserve Board

1:45 – 2:30 **STRUCTURE AND FUNCTIONS OF THE FEDERAL RESERVE**

Speaker: Sara Messina, Public Affairs Specialist
Office of Public Affairs
Federal Reserve Board

2:30 – 2:40 Break

2:40 – 3:30 **THE FEDERAL RESERVE'S ROLE IN FINANCIAL STABILITY**

Speaker: Seth Wheeler, Chief of Staff and Assistant Director
Office of Financial Stability
Federal Reserve Board

3:30 – 4:00 Day Three Wrap-Up

Friday, July 27, 2012

<i>Location:</i>	<i>Multipurpose Room, Lower Level, SEC Headquarters</i>
8:30 – 9:00	Check-in, Continental Breakfast, and Day 4 Overview
9:00 – 9:30	OVERVIEW OF NASAA Speaker: <i>Bob Webster</i> , Deputy Director of Communications North American Securities Administrators Association
9:30 – 9:40	Break
9:40 – 10:50	INVESTOR EDUCATION RESOURCES & YOUR CLASSROOM Speaker: <i>Kathy Floyd</i> , Deputy Director for Investor Education Office of Investor Education and Advocacy U.S. Securities and Exchange Commission
10:50 – 11:00	Break
11:00 – 11:45	Q&A WITH SEC COMMISSIONER Speaker: <i>Daniel Gallagher</i> , Commissioner U.S. Securities and Exchange Commission
11:45 – 12:00	Break
12:00 – 1:00	LUNCH PRESENTATION: TEACHABLE MOMENTS & PROGRAM EVALUATION Speakers: <i>Kathy Floyd</i> , Deputy Director for Investor Education Office of Investor Education and Advocacy U.S. Securities and Exchange Commission
1:00	Conclusion

US Department of the Treasury
1500 Pennsylvania Avenue Northwest
Washington D.C., DC 20229

The Federal Reserve
20th St NW and Constitution Avenue NW
Washington, DC 20551
Entrance located on C St NW between 20th St NW and 21st St NW

Financial Industry Regulatory Authority (FINRA)
1735 K St NW
Washington, DC 20006
Entrance located on K St NW near the intersection of 17th St NW/Connecticut Ave NW

US Securities and Exchange Commission Headquarters
100 F St NE
Washington, DC 20549
Entrance located on F St NE at the intersection with 1st St NE